

FORM PTO-1390
(REV. 9-2001)

U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

0380-P02709US0

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (if known, see 37 CFR 1.5

09/980913

INTERNATIONAL APPLICATION NO.
PCT/EP00/03842INTERNATIONAL FILING DATE
27 April 2000PRIORITY DATE CLAIMED
3 May 1999

TITLE OF INVENTION

MATERIALS AND METHODS RELATING TO NEURONAL DEVELOPMENT

APPLICANT(S) FOR DO/EO/US ARENAS, Ernest; PERLMANN, Thomas; SNYDER, Evan Y.;
WAGNER, Joseph; AKERUD, Peter

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
Copy of Form PCT/IB/308 (1996)

21. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. **\$1040.00**

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO. **\$890.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO. **\$740.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$710.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$ 890.00

\$ 130.00

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	47 - 20 =	27	x \$18.00
Independent claims	5 - 3 =	2	x \$84.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00

\$

\$ 486.00

\$ 168.00

\$ -0-

\$ 1,674.00

TOTAL OF ABOVE CALCULATIONS =

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2. +

\$ -0-

SUBTOTAL =

\$ 1,674.00

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$ -0-

TOTAL NATIONAL FEE =

\$ 1,674.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property +

\$ -0-

TOTAL FEES ENCLOSED =

\$ 1,674.00

Amount to be
refunded:

\$

charged:

\$

- a. ☒ A check in the amount of \$ 1,674.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

HAGAN, Patrick J.
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1601 Market Street, Suite 720
Philadelphia, Pennsylvania 19103-2307
United States of America

SIGNATURE

PATRICK J. HAGAN

NAME

27,643

REGISTRATION NUMBER

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CERTIFICATE OF MAILING
BY EXPRESS MAIL UNDER 37 C.F.R. \$1.10

NUMBER OF EXPRESS MAIL MAILING LABEL: EL676442818US
DATE OF DEPOSIT WITH POSTAL SERVICE: November 1, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. \$1.10 on the date indicated above, and is addressed to the ASSISTANT COMMISSIONER OF PATENTS AND TRADEMARKS, Washington, D.C. 20231.

Janice M. Nightlinger
Typed Name of Person Mailing Paper or Fee

Janice M. Nightlinger
Signature of Person Mailing Paper or Fee

Re: International Patent Application No. PCT/EP00/03842
Entitled: MATERIALS AND METHODS RELATING TO NEURONAL
DEVELOPMENT
International Filing Date: 27 April 2000
Earliest Claimed Priority Date: 3 May 1999
Our File No. 0380-P02709US0

Enclosures:

- Transmittal Letter to the DO/EO/US Concerning a Filing Under 35 U.S.C. §371 (in duplicate)
- Preliminary Amendment
- Copy of Form PCT/IB/308
- Check in the amount of \$1,674.00